

PTO/SB/17 (12-04)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act. 2005 (H.R. 4818).

**FEE TRANSMITTAL  
for FY 2005**☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$ ) 180**Complete if Known**

Application Number	10/662,875
Filing Date	September 16, 2003
First Named Inventor	DAVID L O'MEARA
Examiner Name	Toan Nguyen
Art Unit	2813
Attorney Docket No.	071469-0305306

**METHOD OF PAYMENT** (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_

☒ Deposit Account      Deposit Account Number: 033975      Deposit Account Name: See 1 in Addendum

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below      ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayment of fees(s) under 37 CFR 1.16 and 1.17      ☒ Credit any overpayments

WARNING: Information on this form may become public. Credit Card Information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fee Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	100	500	250	200	100	_____
Design	200	100	100	50	130	65	_____
Plant	200	100	300	150	160	80	_____
Reissue	300	150	500	250	600	300	_____
Provisional	200	100	0	0	0	0	_____

**2. EXCESS CLAIM FEES**

Fee Description	Small Entity	
	Fee (\$)	Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent	50	25
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent	200	100
Multiple dependent claims	360	180

**Total Claims**      **Extra Claims**      **Fee (\$)**      **Fee Paid (\$)**      **Multiple Dependent Claims**

- 20 or HP = \_\_\_\_\_ X \_\_\_\_\_ = \_\_\_\_\_      **Fee (\$)**      **Fee Paid (\$)**

HP = highest number of total claims paid for, if greater than 20

**Indep. Claims**      **Extra Claims**      **Fee (\$)**      **Fee Paid (\$)**

- 3 or HP = \_\_\_\_\_ X \_\_\_\_\_ = \_\_\_\_\_

HP = highest number of independent claims paid for, if greater than 3.

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

**Total Sheets**      **Extra Sheets**      **Number of each additional 50 or fraction thereof**      **Fee (\$)**      **Fee Paid (\$)**

- 100 = \_\_\_\_\_ /50= \_\_\_\_\_ (round up to a whole number) x 250.00 = \_\_\_\_\_

**4. OTHER FEE(S)**

Non-English Specification, 130 fee (no small entity discount)

Other: Filing IDS after allowance

**Fee Paid (\$)**

180.00

**SUBMITTED BY**

Signature		Registration No. (Attorney/Agent)	35914	Telephone	703905.2110
Name (Print/Type)	Jeffrey O. Karczeski	Date	August 12, 2005		

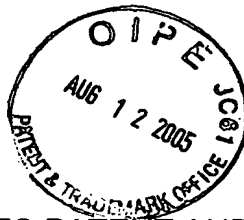
This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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## Addendum

1. PILLSBURY WINTHROP SHAW PITTMAN LLP

Docket Number: 071469-0305306  
Client Reference: RAJ-005



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of

DAVID L O'MEARA, et al.

Group Art Unit: 2813

Application No.: 10/662,875

Examiner: Toan Nguyen

Filed: September 16, 2003

Confirmation No.: 1166

For: INTERFACIAL OXIDATION PROCESS FOR HIGH-K GATE DIELECTRIC  
PROCESS INTEGRATION

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 CFR 1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO-1449. As this application was filed after June 30, 2003, no copies of the cited U.S. patents/patent application are enclosed. However, one copy of each foreign and non-patent reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom. Applicants respectfully request the Examiner return an initialed copy of the enclosed Form PTO-1449 to Applicants with the next Office communication to indicate that the references has been considered, per MPEP § 609.

This Information Disclosure Statement is being filed the mailing date of the Notice of Allowance, but before payment of the Issue Fee. Please charge Deposit Account 033975 in the amount of \$180.00 in payment of the fee under 37 CFR 1.17(i)(p). Please credit or debit Deposit Account 033975 as needed to ensure consideration of the disclosed information. Two copies of a separate Fee Transmittal form are attached.

I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR 1.97(e)(1).

Each item of information contained in the Information Disclosure Statement was cited in an International Search Report, dated July 27, 2005, in corresponding International Application No. PCT/US2004/26811, and this communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

Cited International Application No. WO/063220A1, which is in the Japanese language with an English abstract, corresponds to European Patent Application No. 1 469 5009 A1, which is also cited in the International Search Report. Applicant relies upon said European application for a statement of relevance for the Japanese counterpart.

Respectfully Submitted,

A handwritten signature in black ink, enclosed within a large, hand-drawn oval. The signature appears to be "J. Karceski".

Jeffrey D. Karceski  
Registration Number 35914  
Customer Number: 00909

Date: August 12, 2005

PILLSBURY WINTHROP SHAW PITTMAN LLP  
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McLean, VA 22102

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	1
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**Complete if Known**

Application Number	10/662,875
Filing Date	09/16/2003
First Named Inventor	DAVID L O'MEARA
Art Unit	2813
Examiner Name	Tuan Nguyen
Attorney Docket Number	071469-0305306

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Approved for use through 06/30/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449B/PTO

*(Use as many sheets as necessary)*

**Complete if Known**

<i>Application Number</i>	10/662,875
<i>Filing Date</i>	09/16/2003
<i>First Named Inventor</i>	DAVID L O'MEARA
<i>Art Unit</i>	2813
<i>Examiner Name</i>	Tuan Nguyen
<i>Attorney Docket Number</i>	071469-0305306

Sheet	1	of	
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### NON PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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